

PUSHKIN PTO-1350 (Modified)  
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

1315

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

Unassigned 09/424458

INTERNATIONAL APPLICATION NO.

PCT/AU98/00380

INTERNATIONAL FILING DATE

22 May 1998 (22.05.98)

PRIORITY DATE CLAIMED

23 May 1997 (23.05.97)

## TITLE OF INVENTION

**THREE NOVEL GENES ENCODING A ZINC FINGER PROTEIN, A GUANINE, NUCLEOTIDE EXCHANGE FACTOR AND A HEAT SHOCK PROTEIN OR HEAT SHOCK BINDING PROTEIN**

## APPLICANT(S) FOR DO/EO/US

**Nicholas Hayward, Ginters Silins, Sean Grimmond, Michael Gartside, and John Hancock**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- ☒ A copy of the International Search Report (PCT/ISA/210).
- ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
- ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 18 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.  
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

Courtesy copy of International Application  
85 Sheets of drawings

U.S. APPLICATION NO. (IF KNOWN, SEE 3) <b>09/142448</b>	INTERNATIONAL APPLICATION NO. <b>PCT/AU98/00380</b>	ATTORNEY'S DOCKET NUMBER <b>13198</b>
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20. The following fees are submitted:

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :**

- |   |                 |
|---|-----------------|
| <input type="checkbox"/> Search Report has been prepared by the EPO or JPO . . . . .  | <b>\$840.00</b> |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482)<br>.....  | <b>\$670.00</b> |
| <input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482)<br>but international search fee paid to USPTO (37 CFR 1.445(a)(2)) . . . . .   | <b>\$760.00</b> |
| <input checked="" type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor<br>international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . . | <b>\$970.00</b> |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482)<br>and all claims satisfied provisions of PCT Article 33(2)-(4) . . . . .         | <b>\$96.00</b>  |

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of **\$130.00** for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). ☐ 20 ☒ 30

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			
Total claims	24 - 20 =	4	x	\$18.00	\$72.00	
Independent claims	12 - 3 =	9	x	\$78.00	\$702.00	
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>		\$0.00	
TOTAL OF ABOVE CALCULATIONS				=	\$1,874.00	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).			<input type="checkbox"/>		\$0.00	
SUBTOTAL				=	\$1,874.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).			<input type="checkbox"/>		\$0.00	
TOTAL NATIONAL FEE				=	\$1,874.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).			<input type="checkbox"/>		\$0.00	
TOTAL FEES ENCLOSED				=	\$1,874.00	
					Amount to be refunded	\$
					charged	\$

- ☒ A check in the amount of **\$1,874.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **19-1013/SSMP** A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**Leopold Presser**  
**SCULLY, SCOTT, MURPHY & PRESSER**  
400 Garden City Plaza  
Garden City, New York 11530  
(516) 742-4343

**SIGNATURE**

**Leopold Presser**

NAME \_\_\_\_\_

**19,827**

REGISTRATION NUMBER

**November 23, 1999**

DATE \_\_\_\_\_

09/424458

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) **428 Rec'd PCT/PTO** Docket No. **23 NOV 1999**

Applicant(s): Nicholas Wayward, et al.

13198

Serial No.  
UnassignedFiling Date  
HerewithExaminer  
UnassignedGroup Art Unit  
Unassigned

Invention: **THREE NOVEL GENES ENCODING A ZINC FINGER PROTEIN, A GUANINE,  
NUCLEOTIDE EXCHANGE FACTOR AND A HEAT SHOCK PROTEIN OR  
HEAT SHOCK BINDING PROTEIN**

I hereby certify that this **PCT Patent Application**

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231

on **November 23, 1999**  
(Date)

**Mishelle Spina**

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

**EM341609094US**

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